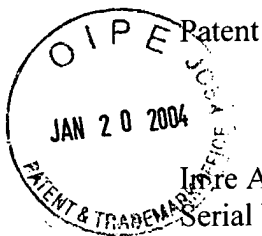


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2811



Patent

Attorney Docket No.: MTI-31269

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Yates, Donald L. et al.  
 Serial No. : 10/050,390  
 Confirmation No. : 6193  
 Filing Date : January 16, 2002  
 For : Method for Enhancing Electrode Surface Area in DRAM  
 Cell Capacitors  
 Group Art Unit : 2811

**CERTIFICATION UNDER 37 CFR 1.8(a)**

I hereby certify that, on the date shown below, this correspondence is being:

**Mailing**

- ☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**37 CFR 1.8(a)**

- ☒ with sufficient postage as first class mail

**Transmission**

- ☐ transmitted by facsimile to Fax No.: addressed to Examiner at the Patent and Trademark Office.

Date:

1.13.04

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Dear Sir:

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT BEFORE  
 MAILING DATE OF EITHER A FINAL ACTION OR NOTICE  
 OF ALLOWANCE (37 CFR 1.97(c))**

**TIME OF TRANSMITTAL OF ACCOMPANYING INFORMATION  
 DISCLOSURE STATEMENT**

1. The information disclosure statement transmitted herewith is being filed after three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but before the mailing date of either:

- (1) a final action under §1.113 or  
 (2) a notice of allowance under §1.311,

whichever occurs first.

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JAN 27 2004

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**CERTIFICATION OR FEE**

2. Accompanying this transmittal is

A. ☒ a certification as specified in 37 CFR 1.97(e)

**OR**

B. ☐ the fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00).

**FEE PAYMENT**

3. Applicant elects the option to pay the fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under §1.97(c) (\$180.00).

Fee due \$ \_\_\_\_\_

**METHOD OF PAYMENT OF FEE**

4. ☐ Attached is a check in the amount of \$ \_\_\_\_\_  
☐ Charge Deposit Account No. 23-2053 in the amount of \$ \_\_\_\_\_

A duplicate of this request is attached.

If any additional fees are due, please charge Account 23-2053.

Respectfully submitted,



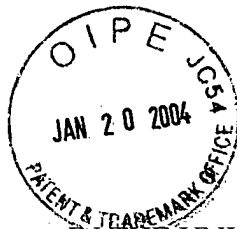
Kristine M. Strodthoff  
Registration No. 34259

Dated: January 13, 2004

**P.O. ADDRESS:**

WHYTE HIRSCHBOECK DUDEK S.C.  
555 East Wells Street, Suite 2100  
Milwaukee, Wisconsin 53202  
(414) 273-2100  
Customer No. 31870

Patent



Attorney Docket No.: MTI-31269

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- ☐ transmitted by facsimile to Fax No.: addressed to Examiner at the Patent and Trademark Office.

Date:

1-13-04

*John R. Houli*

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT  
(37 CFR 1.97(e))**

**Identification of Information Disclosure Statement  
for Which This Certification is Being Made**

1. This certification is being made for the Information Disclosure Statement

- ☒ accompanying this certification  
☐ filed

**CERTIFICATION**

2. I, the person(s) signing below certify

- ☒ that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. 37 CFR 1.97(e)(1).

OR

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- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(C) more than three months prior to the filing of the statement. 37 CFR 1.97(e)(2).

**IDENTIFICATION OF PERSON(S) MAKING THIS CERTIFICATION**

3. The person making this certification is

- ☐ the inventor(s) who signs below

\_\_\_\_\_  
Signature of Inventor

\_\_\_\_\_  
(type name of inventor who is signing)

- ☐ a person who is substantively involved in the preparation or prosecution of the application, and who is associated with the inventor, with the assignee, or with anyone to whom there is an obligation to assign the application and who signs below.

\_\_\_\_\_  
Signature of Person

\_\_\_\_\_  
(Type name of person who is signing)

\_\_\_\_\_  
(Address of person who is signing)

☒ the attorney who signs below on the basis of the information

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual designated in §1.56(c).
- ☒ in the attorney's file.

Respectfully submitted,

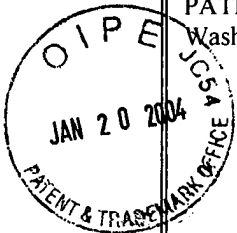
*Kristine M Strodthoff*

Kristine M. Strodthoff  
Registration No. 34259

Dated: January 13, 2004

**P.O. ADDRESS:**

WHYTE HIRSCHBOECK DUDEK S.C.  
555 East Wells Street, Suite 1900  
Milwaukee, Wisconsin 53202  
(414) 273-2100  
Customer No. 31870

 <p>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE Washington, D.C. 20231</p> <p><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p>	ATTY. DOCKET NO.	Serial No.
	MTI-31269	10/050,390
	Applicant	Confirmation No.
	Yates, Donald L. et al.	6193
	Filing Date	Group Art Unit
	January 16, 2002	2811

**U.S. PATENT DOCUMENTS**

		Patent Number	Issue Date	Patentee	U.S. Class	Sub- Class	Filing Date
	A1						

**FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION**

Examiner Initial		Document Number	Publication Date	Country	Int'l Class	Sub- Class	Translation (Yes/No)
	B1	0 567 748 A1	03-11-93	EPO	G11B	5/64	N/A

**OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)**

Examiner Initial		Non-Patent Document
	C1	

Examiner Initials	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	